

09-10-04

IPW

Attorney Docket Number: 14846-29



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  
Mathews *et al.*

Serial No.: 10/730,498

Filing Date: December 5, 2003

Entitled: SYSTEMS AND METHODS FOR TRADING  
FINANCIAL INSTRUMENTS ACROSS DIFFERENT  
TYPES OF TRADING PLATFORMS

Attorney File No.: 14846-29

Art Unit: 3624

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

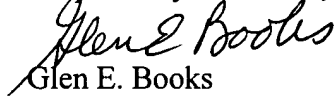
SIR:

In response to the Notice to File Missing Parts Of a Non-Provisional Application (the "Notice"), mailed June 24, 2004, enclosed is: (1) a copy of the Notice (2 sheets); (2) a copy of a Declaration and Power of Attorney executed by all the inventors to be made of record in the current case (6 sheets); (3) replacement drawings in compliance with 37 C.F.R. 1.84 and 37 C.F.R. 1.121 (5 sheets) and (4) a petition for an extension of time pursuant to 37 C.F.R. §1.136(a) (1 sheet in duplicate).

Applicants authorize the commissioner to charge the declaration surcharge, estimated to be \$130.00, to deposit account number 501358.

If any additional fees are required, the commissioner is authorized to charge them to deposit account number **501358**. A duplicate of this sheet is attached for accounting purposes.

Respectfully submitted,

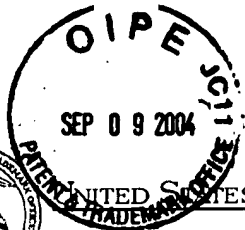
A handwritten signature in black ink, appearing to read "Glen E. Books". The signature is written in a cursive style with a large initial "G".

Glen E. Books

Reg. No. 24,950

Attorney for Applicants

September 9, 2004  
DOCKET ADMINISTRATOR  
LOWENSTEIN SANDLER PC  
65 Livingston Avenue  
Roseland, NJ 07068  
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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/730,498	12/05/2003	Jacob Mathews	14846-29

CONFIRMATION NO. 2319

## FORMALITIES LETTER



\*OC000000012063358\*

GEORGE D. MORGAN, ESQ  
 LOWENSTEINS SANDLER PC  
 65 LIVINGSTON AVENUE  
 ROSELAND, NJ 07068

Date Mailed: 03/11/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/13/2004 HAL111 00000018 501358 10730498 FILED UNDER 37 CFR 1.53(b)

01 FC:1051 130.00 DA

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1)); See Figure(s) 2, 3.
  - The drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper, which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e)). See Figure(s) 4a, 4b.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

**Items Required To Avoid Processing Delays:**

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- A new oath or declaration, identifying this application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:
- does not identify the citizenship of each inventor.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*

A handwritten signature in black ink, appearing to be "DSH", is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE